



Northwest Service Delivery Area

Resource Practice Audit

Report Completed: August 2020

Office of the Provincial Director of Child Welfare and Aboriginal Services

Quality Assurance Branch

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INTRODUCTION

This report contains information and findings related to the resource practice audit that was conducted in the Northwest Service Delivery Area (SDA) from November 2019 to January 2020.

Practice audits are conducted regularly by practice analysts in the Quality Assurance branch of the Provincial Director of Child Welfare and Aboriginal Services division across several of the Ministry of Children and Family Development (MCFD) service lines and for services provided by a Delegated Aboriginal Agency (DAA) under the *Child, Family and Community Service Act* (CFCSA). The audits inform continuous improvements in policy, practice and overall service delivery. They provide quality assurance oversight and demonstrate public accountability.

Resource practice audits are designed to assess the practice of MCFD resource workers in relation to policy and key standards and procedures in the Caregiver Support Service Standards (CSSS) and the Resource Work Policies, which replaced the CSSS in 2017. Resource workers provide services for caregivers in MCFD-contracted family care homes. These services are designed to promote and enhance the safety and well-being of children and youth in care who are placed in these homes.

1. SUMMARY OF FINDINGS

This practice audit was based on a review of physical and electronic records in a representative sample of resource files obtained from the Northwest SDA. The sample contained 37 files. The review focused on practice within a three-year timeframe that started on May 1, 2016 and ended on April 30, 2019. The following sub-sections of this report contain the findings and observations of the practice analysts within the context of the policy, standards and procedures that informed the audit design and measures.

1.1 Screening and Assessing Prospective Caregivers and Family Care Homes

Ministry policy requires prospective caregivers for children in care to undergo a number of checks and assessments before their home is approved and a child is placed in their care. The intended outcomes of this policy include that the children are safe and cared for by caregivers who meet their developmental needs and respect their rights under section 70 of the CFCSA.

The standard of practice associated with this policy includes criminal record and child protection background checks for each prospective caregiver and anyone 18 years of age or older who lives in the caregiver's home or who spends significant amounts of unsupervised time with a child placed in the caregiver's home; a medical assessment and reference checks for the caregiver; and a thorough assessment of the caregiver's home and the caregiver's ability to care for children. The resource worker ensures that all of these checks and assessments are completed and the caregiver's home is approved, before a child is placed there.

About half of the 37 resource files reviewed for this audit contained documentation confirming that all required consolidated criminal record checks, child protection background checks, medical assessments, and reference checks were completed before a child was placed in the home. In one quarter of the files, the documentation indicated that a child was placed in the home before all of the initial checks were completed. In addition, one in five files lacked confirmation that a child protection background check was completed for a caregiver. Further, about one in eight files were missing a medical assessment and one in six files were missing reference checks, for one or both caregivers.

The practice analysts found home study reports containing information gathered through the checks and assessments of the caregiver and the caregiver's home in just over a third of the 37 resource files reviewed. About one in five files were missing the home study report, and one in six files had a home study report that lacked supervisory approval.

Overall, in almost a third of the files, the analysts were able to confirm that all of the required screening and assessment activities were completed before a child was placed in the home.

The practice analysts also verified whether the consolidated criminal record check (CCRC) was up to date at the time of the audit for each caregiver and anyone 18 years of age or older who was living in the caregiver's home or who spent significant amounts of unsupervised time with a child placed in the caregiver's home, and whether the CRRA check was up to date for each caregiver. The CCRC must be renewed or updated every three years and the CRRA every five years. The analysts found that both of these checks were up to date for all relevant individuals in just over half of the files in the sample.

When primary caregivers need relief, ministry policy requires them to use services that are appropriate to the needs of each child placed in their home, provided by relief caregivers who have been screened, assessed and approved before the child is temporarily left in their care. The intended outcome is safety for the child.

The standard associated with this policy is that the primary caregiver uses a ministry approved family care home for relief whenever possible, and alternatively, that a proposed relief caregiver is first screened by the resource worker and then jointly assessed and approved by the primary caregiver and the resource worker.

In conducting this audit, the practice analysts were able to identify relief caregivers in a clear majority of the 37 resource files in the sample. The total number of relief caregivers identified was 79. The number of relief caregivers used by each primary caregiver during the three-year audit timeframe ranged from one to seven, although more than half used only one or two relief caregivers. Overall, the analysts found that just over a third of the 79 relief caregivers were fully screened and assessed.

1.2 Providing Training, Ongoing Learning, and Placement Information for Caregivers

Ministry policy requires that caregivers complete mandatory training sessions within a specified timeframe, and that they continue to access learning and training opportunities for as long as they have an active family care home agreement with the ministry. The intended outcomes of mandatory training and ongoing learning is that caregivers increase their caregiving knowledge and skills and provide a higher quality of care for the children placed in their homes.

The standard is that the resource worker develops a learning plan with each caregiver, provides the caregiver with information and education on relevant topics of interest to the caregiver, and reviews the learning plan and development and training needs and activities with the caregiver during the annual review of the family care home.

In conducting this audit, the practice analysts found that just over three quarters of the files in the sample contained documentation indicating that the resource workers had provided the caregivers with information or training on relevant topics. However, a clear majority of the files lacked confirmation that the caregivers had completed mandatory training within the required two-year timeframe, and just over three quarters did not contain documents or notes that could be identified as learning plans or that resembled learning plans. Overall, none of the files in the sample contained both a learning plan and confirmation that the caregivers had completed mandatory training within the required timeframe.

Ministry policy requires that caregivers receive written information about the strengths and needs of each child placed in their care and their responsibilities in meeting the child's needs. The intended outcome of this policy is that caregivers have enough information about a child to support the child's safety and are aware of their responsibilities toward the child as set out in the child's care plan.

The standard is that ministry workers provide caregivers with written information about a child before the child is placed, at the time of placement, and throughout the child's stay. While the information comes from the child's social worker or the child protection worker involved with the child's family, the resource worker ensures that the caregiver receives it. If the child has a care plan, the resource worker ensures that the caregiver also receives a copy of the caregiver's responsibilities under the child's care plan.

In conducting this audit, the practice analysts found that none of the files in the sample contained documentation confirming that the caregivers were given both written referral information and a copy of their responsibilities for every child placed in their home during the audit timeframe. A total of 258 children were placed in the 37 family care homes in the sample during the three-year timeframe. The number of child placements per home ranged from 1 to 36. Half the homes had 5 or fewer child placements during this timeframe. In reviewing the records, the analysts found

confirmation that caregivers received written child referral information for 70 of the 258 children, and a copy of the caregiver's responsibilities for 7 of these children. Overall, the records indicated that caregivers received both child referral information and a copy of the caregiver's responsibilities for only 6 of the 258 children placed in their homes.

1.3 Ongoing Monitoring of Caregivers and Family Care Homes

Ministry policy requires that resource workers monitor caregivers on an ongoing basis from the start of a child's placement in a caregiver's home right through to the child's departure from the home. The intended outcome of ongoing monitoring is a placement environment in which the caregiver is supported and any concern about the quality of the child's care is addressed in a manner that provides safety for the child.

The standard for ongoing monitoring of a family care home includes direct contact with the caregiver in the caregiver's home at least once every 90 days. These contacts are commonly referred to as 90-day visits.

In reviewing the records for this audit, the practice analysts found documentation of 90-day visits in almost all the files in the sample. The total number of visits that occurred during the audit timeframe ranged from 1 to 17, with an average of 6 visits within three years. In almost half the files in the sample, the analysts found 4 or fewer documented visits during the three years. None of the files contained documentation indicating that the standard interval of no more than 90 days between visits had been maintained.

Procedures for ongoing monitoring of family care homes include development of a plan with the caregiver that specifies regular telephone and email contact in addition to the 90-day visits. In reviewing the records, the practice analysts found examples of monitoring plans in only one file. However, almost all the files contained documentation of ongoing telephone, email and in-office contact between the resource workers and the caregivers.

The standard for ongoing monitoring also requires an annual review of the family care home. The annual review is supposed to occur within 30 working days of the anniversary date of the signing of the first contract with the caregiver, or within 30 days of the anniversary of the previous annual review. In this audit, the practice analysts found documentation indicating that all of the required annual reviews had occurred on time in almost a third of the files in the sample. However, more than two thirds of the files contained fewer than the required number of annual reviews, including 11 files in which the analysts found no indication that an annual review had occurred at any time during the audit timeframe.

1.4 Supportive Practice with Caregivers

As a matter of policy, the ministry expects that caregivers will be supported and encouraged in a manner that is responsive to the complexities of a child's placement and the child's needs. The intended outcome is that caregivers provide the best possible care and guidance for a child, based on the child's individual needs.

The standard is that resource workers consistently use supportive practices in their interactions with a caregiver and provide the caregiver with support services that are consistent with the expectations set out for the caregiver in the child's care plan, in the ministry's standards for family care homes, and in the contractual agreement that the ministry has with the caregiver.

In conducting this audit, practice analysts found evidence of supportive practice in about half of the files in the sample. This included the provision of support services, feedback and encouragement to the caregivers over the three year audit timeframe.

As a matter of policy, the ministry sets limits on the number of children who are looked after by a caregiver in a family care home, based on the children's ages, and including the caregiver's own children. Before placing additional children in an active family care home, the resource worker is expected to assess the caregiver's abilities and capacity in relation to the ages and needs of the children in the home and the ages and needs of the children for whom the home is being considered. The intended outcomes of this policy are family care homes that are structured to support the individual needs, level of development, and health and safety of the children placed there, and that caregivers have the abilities and resources to care for all of the children in their home.

The standard sets a maximum number of children per family care home based on the type of home. The resource worker obtains a manager's approval before the maximum allowable number of children can be exceeded. Once a home is approved to exceed the maximum allowable number of children, the resource worker is required to review the home every 90 days during the first year and every 6 months thereafter.

In conducting this audit, the practice analysts found that 9 of the 37 family care homes in the sample had exceeded the allowable number of children at some point during the audit timeframe and none of the files for these homes contained all the required reviews and managerial approvals.

Ministry policy requires that caregivers report to ministry social workers all information of significance to the safety and well-being of a child in their care, and any significant change in their own situations. The intended outcomes are that social workers are promptly informed about a critical injury or serious incident involving a child in care; affected children, youth, families and

staff are supported; and the Public Guardian and Trustee has the necessary information to exercise their responsibilities on behalf of a child in care, when applicable.

The standard is that resource workers first inform the caregivers about their obligation to report, and then remind the caregivers on an annual basis about their obligation to report.

In this audit, the practice analysts found that a clear majority of the files contained documentation confirming that the resource workers had informed the caregivers at least once about their obligation to report, and in just over a quarter of these files the documentation indicated that the resource workers had also reminded the caregivers on an annual basis about their obligation to report. All of these reminders occurred during the annual review process. However, just over half the files lacked documentation indicating that the caregiver was reminded each year about the obligation to report. These reminders typically occur during the annual review of the family care home and many of the files were missing annual reviews.

1.5 Assessing and Reviewing Quality of Care Concerns in Family Care Homes

Ministry policy requires that resource workers review any significant concern that arises about the quality of a child's care in a family care home. The intended outcome of this policy is that caregivers respect the rights of children in care and adhere to the terms of the Family Care Home Agreement and applicable policies.

The standard is that the supervisor of the resource worker decides whether to conduct a quality of care review within 24 hours of receiving a report that a caregiver may have breached the rights of a child, the terms of the Family Care Home Agreement and/or applicable policies. If the supervisor decides that the information meets the threshold for a quality of care review, the supervisor obtains a manager's approval for the review. The review is expected to start, unfold and finish within specified timeframes. Extensions of the overall timeframe require a manager's approval. Caregivers are notified of an extension and their right to request an administrative review of a decision involving a serious sanction. If the supervisor decides that the information does not meet the threshold for a review, the resource worker and the child's social worker discuss and resolve the issues informally with the caregiver.

The practice analysts who conducted this audit reviewed records in 18 files in which one or more quality of care concerns were documented during the audit timeframe. In almost all of these files, the analysts found documentation confirming that the concerns were jointly assessed by the resource worker and supervisor, and when the information was assessed to be below the threshold for a quality of care review, the underlying issues were addressed informally with the caregiver. In three files, the analysts found that the resource worker received information that should have been assessed as a quality of care concern and was not.

The practice analysts also reviewed records related to quality of care reviews documented in 15 files as having been started or completed and found that the practice recorded in all but one of these files failed to meet the standard for a quality of care review. The documentation indicated that most of the reviews took longer than 30 days to complete and there was no indication that a manager approved the extension and the caregiver was informed of the extension. The average amount of time that it took to complete the quality of care reviews ranged from 10 to 139 days, with a median or midpoint of 78 days.

2. ACTIONS TAKEN TO DATE

The results of this audit were reviewed with the SDA management team on June 15, 2020

3. ACTION PLAN

ACTION	PERSON RESPONSIBLE	INTENDED OUTCOME	DATE TO BE COMPLETED
<p>1. Review with resource workers the findings of this practice audit, and the applicable Resource Work Policies, to reaffirm policies and general practice expectations for resource workers.</p>	<p>Director of Operations with responsibility for Resources, Team Leader and Director of Practice</p>	<p>Resource workers know the required resource standards and are able to action these standards into their practice.</p>	<p>September 30, 2020</p>
<p>2. Develop a face sheet to be attached to each RE file in the SDA used by all resource (RE) workers and Team Leaders (TLs) to track completion of caregiver assessments, 90-day visits, annual reviews and caregiver learning plans, direction to caregivers to report critical incidents and significant changes in their home, and to identify relief caregivers and track completion of relief caregiver screening and assessment activities.</p> <p>Checklist tracked at a minimum monthly.</p>	<p>Resource Lead, Director of Operations, and Practice Consultant will convene a Resource Team Leader Working Group to develop the face sheet</p>	<p>Resources staff use the tracking sheet consistently and are supported to ensure that caregivers are adequately assessed, family care homes are monitored on a regular basis, annual reviews are completed, and caregivers are supported with their continuous learning plans.</p>	<p>September 30, 2020</p>

3. Once face sheet is developed, provide orientation for all staff who will be using it.	TLs, Director of Operations		September 30, 2020
4. Develop a tracking system to implement and monitor the completion of the child referral document in ICM.	Director of Operations responsible for Guardianship and Resources	Guardianship staff consistently complete the child referral information in ICM. ICM generated child referral forms are provided to caregivers for every placement, except in unusual situations in which case the ICM child referral form will be provided to the caregiver as soon as possible following the initial placement. The goal is 85% compliance on an ongoing basis.	September 30, 2020
5. Update any missing home studies, criminal record checks, outstanding annual reviews and outstanding assessment of relief caregivers (from audit worksheets and newly created face sheet) 90 Day visits are to be completed for those caregivers where required and Caregiver responsibilities for children in the home are to be provided to the Caregiver. Learning plans to be developed with each caregiver including projected completion of Mandatory learning where required.	Director of Operations and Resource Team Leaders	Criminal record checks of primary caregivers and home studies are completed and updated as required, and all relief caregivers are screened and assessed, before a child is placed in their care.	December 30, 2020

APPENDIX

This appendix contains a description of the audit methodology and a detailed breakdown of the findings for each of the measures in the audit tool.

A. METHODOLOGY

This practice audit was based on a review of records in a representative sample of resource files obtained from the Northwest SDA. The audit included a review of records in the physical files and electronic records and attachments in the Ministry Information System (MIS) and Integrated Case Management (ICM) system.

The sample was selected from a list of resource files extracted from MIS at the SDA level.

The list of resource (RE) files extracted from MIS (i.e., the sampling frame) consisted of files pertaining to family care homes of the types Regular, Level 1, Level 2, Level 3, Restricted, and Client Service Agreement (where the provider was a unique family caregiver contracted directly by the Ministry) that met all of the following criteria:

- eligible for payment for at least 13 months between May 1, 2016 and April 30, 2019
- eligible for payment for at least 1 month since July 1, 2018
- eligible for payment for at least 1 month prior to May 1, 2017
- had a child or youth in care (CYIC) placement for at least 1 month between May 1, 2016 and April 30, 2019.

The total number of files that met all of the criteria in the sampling frame was 78. From this total, a sample of 37 files was selected using the simple random sampling method. This sample size provides a 90% confidence level, with a 10% margin of error.

The sampling method and MIS extracts were developed and produced with the support of the Modelling, Analysis and Information Management (MAIM) Branch.

Eight additional files were included with those in the sample for which measure RE 12 (assessing quality of care concern) or measure RE 13 (conducting quality of care review) were applicable. These additional files were flagged in MIS as having at least one Quality of Care (QOC) concern or review occur during the audit timeframe but were not selected through the random sampling process. This brought the total number of files reviewed for RE 12 and RE 13 to 45.

The records in all of these files were reviewed by practice analysts on the Audit Team, in the Quality Assurance Branch. The analysts used the RE audit tool to assess the records, record a rating for each measure, and collect categorical and qualitative data and information, as observed in the records.

The RE audit tool contains 13 measures designed to assess compliance with key components of the Caregiver Support Service Standards (CSSS) and the Resource Work Policies, which replaced the CSSS in 2017.

Each measure contains a scale with “Achieved” and “Not achieved” as rating options, as well as ancillary questions designed to assist the analysts in collecting categorical and qualitative data that explain or provide context for the ratings.

In reviewing the records, the analysts focused on practice that occurred during a 36-month period (May 1, 2016 to April 30, 2019) referred to in the report as the audit timeframe.

The audit tool is a SharePoint form that was developed and produced with the support of data specialists on the Monitoring Team, in the Child Welfare Branch.

Quality assurance policy and procedures require that practice analysts identify for action any record that suggests a child or youth may need protection under section 13 of the Child, Family and Community Service Act. During the audit process, the analysts watch for situations in which the information in the record suggests that a child or youth may have been left in need of protection. When identified, the record is brought to the attention of the responsible team leader (TL) and director of operations (DOO), as well as the executive director of service (EDS), for follow up, as deemed appropriate.

B. DETAILED FINDINGS AND ANALYSIS

In this section of the report, findings are presented in tables that contain counts and percentages of ratings of achieved and not achieved for all of the measures in the resource audit tool (RE 1 to RE 13). Each table is followed by an analysis of the findings, including a breakdown of the reasons why a measure was rated achieved or not achieved. It is important to note that some measures can result in a rating of not achieved for more than one reason.

There were 37 files in the sample for measures RE 1 to RE 11 and 45 files for RE 12 and RE 13. However, not all of the measures in the audit tool were applicable to records in all of these files. The “Total Applicable” column in the tables contains the total number of files in which each measure was applied to the records and notes below some of the tables explain why some of the measures were not applicable to records in some of the files.

The overall compliance rate for this SDA was **35%**.

b.1 Screening and Assessing Prospective Caregivers and Family Care Homes

Table 1 provides compliance rates for measures RE 1, RE 2, RE3 and RE 4, which have to do with screening and assessing each caregiver and any other adult who is living in the family care home

or who has significant and unsupervised time with a child placed in the home. The compliance rate is the percentage of the files in which each measure was applied to the records and rated achieved. The note below the table provides the number of files in which the measure was not applicable and explains why.

Table 1: Screening and Assessment of Caregivers and Other Adults in the Family Care Home

Measure	Total Applicable	# Achieved	% Achieved	# Not Achieved	% Not Achieved
RE 1: Initial screening of prospective caregivers and other adults in family care home	37	19	51%	18	49%
RE 2: Assessment of prospective caregivers and family care home	37	13	35%	24	65%
RE 3: Screening and assessment of relief caregivers*	30	11	37%	19	63%
RE 4: Renewal of CCRC and CRRRA checks	37	22	59%	15	41%

*This measure was not applicable to 7 files in which relief caregivers were not identified.

RE 1: Initial Screening of Prospective Caregivers and Other Adults in the Home

The compliance rate for this measure was 51%. The measure was applied to records in all 37 files in the sample; 19 of the 37 files were rated achieved and 18 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed before a child was placed in the home:

- confirmation that each prospective caregiver was 19 years of age or older
- a prior contact check (PCC) or initial records review (IRR) and detailed records review (DRR) for each prospective caregiver and anyone 18 years of age or older who was residing in the home or had significant unsupervised time with a child placed in the home
- a consolidated criminal record check (CCRC) for each prospective caregiver and anyone 18 years of age or older who was residing in the home or had significant unsupervised time with a child placed in the home
- a medical assessment for each prospective caregiver, and
- three reference checks for each prospective caregiver.

Half of the 18 files rated not achieved were missing documentation related to more than one screening activity. Placement of a child in the home prior to completion of all screening activities (observed in 10 files as having occurred) was the most frequently missed activity, followed by prior contact checks (missing in 8 files), reference checks (missing in 6 files) and medical assessments (missing in 5 files). Missing consolidated criminal record checks for a caregiver was observed in 3 files.

RE 2: Assessment of Prospective Caregivers and the Family Care Home

The compliance rate for this measure was 35%. The measure was applied to records in all 37 files in the sample; 13 of the 37 files were rated achieved and 24 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed before a child was placed in the home:

- a participatory assessment of each prospective caregiver to verify their ability to care for children
- an environment of care checklist (applies after March 2017)
- a home study report or updated home study report
- supervisory approval of the home study report or updated home study report, and
- a *Criminal Records Review Act* (CRRRA) check for each prospective caregiver.

Of the 24 files rated not achieved, 8 had documentation indicating that a child was placed in the home prior to completion of all assessment activities; 4 were missing supervisory approval of the home study report; 3 were missing the home study report; 2 were missing an updated home study report following a significant change in the caregiver's own circumstances; and 7 were missing confirmation for two or more assessment activities.

RE 3: Screening and Assessment of Relief Caregivers

The compliance rate for this measure was 37%. The measure was applied to records in 30 of the 37 files in the sample; 11 of the 30 files were rated achieved and 19 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed before a child was placed in the care of a relief caregiver, either in the primary caregiver's home or in the relief caregiver's home:

- confirmation that each relief caregiver was 19 years of age or older
- prior contact check (PCC) or initial records review (IRR) and detailed records review (DRR) for each relief caregiver
- consolidated criminal record check (CCRC) for each relief caregiver
- joint assessment and approval of each relief caregiver by the primary caregiver and resource worker (applies before March 2017)
- relief caregiver screening checklist completed and signed (applies after March 2017).

Almost all of the files rated not achieved were missing documentation related to more than one of these activities. The PCC or IRR/DRR (missing in 23 files for at least one relief caregiver), the joint assessment and approval of relief caregiver (missing in 12 files for at least one relief caregiver) and the consolidated criminal record check (missing in 10 files for at least one relief caregiver) were the most frequently missed activities, followed by missing, incomplete or unsigned screening checklists (observed in 9 files).

RE 4: Renewal of CCRC and CRRRA Checks

The compliance rate for this measure was 59%. The measure was applied to records in all 37 files in the sample; 22 of the 37 files were rated achieved and 15 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed:

- a current (valid) CCRC for each caregiver and anyone 18 years of age or older who was residing in the home or who had significant and unsupervised time with a child placed in the home
- a current (valid) CRRRA check for each caregiver in the home.

Of the 15 files rated not achieved, 6 were missing a current (valid) CRRRA check for a caregiver; 6 were missing a current (valid) CCRC for a caregiver or individual 18 years of age or older; and 3 were missing confirmation of a combination of these activities. None of the CCRCs in the sample were completed through the Centralized Services Hub.

b.2 Providing Training, Ongoing Learning, and Placement Information for Caregivers

Table 2 provides compliance rates for measures RE 5 and RE 6, which have to do with supporting caregiver learning and education and providing written referral information about a child to the caregiver when the child is placed in the caregiver’s home. The compliance rate is the percentage of the files in which each measure was applied to the records and rated achieved.

Table 2: Caregiver Continuing Learning and Sharing Placement Information with Caregiver

Measure	Total Applicable	# Achieved	% Achieved	# Not Achieved	% Not Achieved
RE 5: Caregiver continuing learning and education including mandatory training	37	0	0%	37	100%
RE 6: Sharing Placement Information with Caregiver	37	0	0%	37	100%

RE 5: Caregiver Continuing Learning and Education

The compliance rate for this measure was 0%. The measure was applied to records in all 37 files in the sample and none of these files were rated achieved. In order to receive a rating of achieved, the file had to contain a learning plan for the caregiver and documentation indicating that the caregiver had been provided with information or education on relevant topics and had completed mandatory training within two years of the date on which the caregiver was approved. If it had not been two years since the caregiver was approved, the file needed to contain a learning plan and documentation indicating that the caregiver was in the process of completing the mandatory training.

Most of the files rated not achieved were missing documentation related to more than one of these activities. Confirmation that the caregiver had completed mandatory training within two years of the date on which the caregiver was approved or by 2008 for caregivers approved prior to 2006 (missing in 30 files) and the learning plan (missing in 29 files) were the most frequently missed activities, followed by confirmation that the caregiver was provided information or education on relevant topics (missing in 8 files).

RE 6: Sharing Placement Information with Caregiver

The compliance rate for this measure was 0%. The measure was applied to records in all 37 files in the sample and none of these files were rated achieved. To receive a rating of achieved, the file had to contain documentation confirming that the caregiver had received written child referral information and written information about the caregiver’s responsibilities (arising from the child’s care plan) for each child placed in the caregiver’s home during the audit timeframe.

Of the 37 files rated not achieved, 26 lacked documentation confirming that the caregiver had received both child referral information and information about the caregiver’s responsibilities for at least one child placed in the caregiver’s home during the audit timeframe; 8 were missing confirmation that the caregiver had received information about the caregiver’s responsibilities; and 3 were missing confirmation that the caregiver had received child referral information.

Only 4 of the 37 files in the sample contained documentation confirming that the caregiver had received both child referral information and information about their responsibilities for at least one child placed in their care, and this occurred for only 6 of the 258 children placed in these 37 family care homes during the audit timeframe.

b.3 Ongoing Monitoring of Caregivers and Family Care Homes

Table 3 provides compliance rates for measures RE 7 and RE 8, which have to do with the requirement that resource workers maintain ongoing in-person contact with the caregiver, in the caregiver’s home, at least once every 90 days, and that they complete annual reviews of the family care home within 30 working days of the anniversary date of the initial approval of the home, or within 30 days of the date of the previous annual review.

Table 3: Ongoing Monitoring and Annual Reviews of Family Care Homes

Measure	Total Applicable	# Achieved	% Achieved	# Not Achieved	% Not Achieved
RE 7: Ongoing monitoring of family care home	37	0	0%	37	100%
RE 8: Annual reviews of family care home	37	11	30%	26	70%

RE 7: Ongoing Monitoring of Family Care Home

The compliance rate for this measure was 0%. The measure was applied to records in all 37 files in the sample and none of these files were rated achieved. To receive a rating of achieved, the file had to contain documentation confirming that in-person contact with the caregiver in the caregiver’s home had occurred at least once every 90 days.

Of the 37 files rated not achieved, 34 had documentation indicating that in-person visits in the caregiver’s home had occurred, but not always within 90 days of the previous visit; and 3 had no documentation indicating that in-person visits in the caregiver’s home had ever occurred during the three-year audit timeframe. Based on the documentation in the files, 214 in-person visits occurred during the audit timeframe, which averaged 6 visits per family care home in three years.

RE 8: Annual Reviews of Family Care Home

The compliance rate for this measure was 30%. The measure was applied to records in all 37 files in the sample; 11 of the 37 files were rated achieved and 26 were rated not achieved. To receive a rating of achieved, each annual review was completed within 30 working days of the anniversary date of the signing of the first contract with the caregiver or within 30 working days of the date of the previous annual review and documented in the file; and the required number of annual reviews were completed during the three-year audit timeframe.

Of the 26 files rated not achieved, 12 did not contain all of the annual reviews that should be completed during the audit timeframe; 11 did not contain any annual reviews; 1 had the expected number of annual reviews, but not all were completed within the required timeframe; and 2 had a combination of missing annual reviews and annual reviews that were not completed within the required timeframe.

b.4 Supportive Practice with Caregivers

Table 4 provides compliance rates for measures RE 9, RE 10 and RE 11, which have to do with reportable incidences, the allowable number of children in the family care home, and supportive practice. The compliance rate is the percentage of the files in which each measure was applied to the records and rated achieved.

Table 4: Reportable Incidences, Allowable Number of Children and Supportive Practice

Measure	Total Applicable	# Achieved	% Achieved	# Not Achieved	% Not Achieved
RE 9: Reportable incidences	37	11	30%	26	70%
RE 10: Allowable number of children in a caregiving home	37	28	76%	9	24%
RE 11: Supportive practice	37	19	51%	18	49%

RE 9: Reportable Incidences

The compliance rate for this measure was 30%. The measure was applied to records in all 37 files in the sample; 11 of the 37 files were rated achieved and 26 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the caregiver was informed of the obligation to report to the appropriate delegated social worker all information of significance to the safety and well-being of a child placed in the caregiver's home and any significant changes in the caregiver's own situation, and the file contained documentation confirming that the caregiver had been reminded on an annual basis of the obligation to report.

Of the 26 files rated not achieved, 20 contained documentation indicating that the caregiver was informed of the obligation to report but not on an annual basis; and 6 contained no documentation indicating that the caregiver had ever been informed of the obligation to report.

RE 10: Allowable Number of Children in Family Care Home

The compliance rate for this measure was 76%. The measure was applied to records in all 37 files in the sample; 28 of the 37 files were rated achieved and 9 were rated not achieved. To receive a rating of achieved, the following criteria were met:

- The number of all children living in the family care home and the number of children in care placed in the family care home did not exceed the maximum allowable numbers based on the level of the home, or
- The maximum allowable numbers were exceeded with a manager's approval, and
- The family care home that was approved to exceed the maximum allowable numbers was reviewed every 90 days for the first year and every 6 months thereafter, as required.

Of the 9 files rated not achieved, 7 lacked documentation confirming that the maximum allowable numbers were exceeded with a manager's approval; and 2 had a manager's approval but lacked documentation confirming that the home was reviewed every 90 days as required.

RE 11: Supportive Practice

The compliance rate for this measure was 51%. The measure was applied to records in all 37 files in the sample; 19 of the 37 files were rated achieved and 18 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the resource worker used supportive practices with the caregiver, similar to those listed in the procedures associated with Standard 8.15(1) in the Resource Work Policies.

Of the 18 files rated not achieved, 13 contained insufficient confirmation of supportive practice to meet the standard; and 5 lacked confirmation of supportive practice altogether.

b.5 Assessing and Reviewing Quality of Care Concerns in Family Care Homes

Table 5 provides compliance rates for measures RE 12 and RE 13 which have to do with assessing quality of care concerns and conducting quality of care reviews. For these two measures, 8 additional files were reviewed. These additional files were in the population of files from which the original sample was selected but had not made it into the sample through random selection. They were purposefully added to the sample for measures RE 12 and RE 13 because they had a quality of care concern (QCC) or quality of care review (QCR) flag in MIS.

As a result, there were 45 files in the sample for measures RE 12 and RE 13.

The compliance rate is the percentage of the files in which each measure was applied to the records and rated achieved. The notes below the table provide the number of files in which each of the measures was not applicable and explain why.

Table 5: Quality of Care Concerns and Reviews

Measure	Total Applicable	# Achieved	% Achieved	# Not Achieved	% Not Achieved
RE 12: Assessing quality of care concern*	18	15	83%	3	17%
RE 13: Conducting quality of care review**	15	1	7%	14	93%

*Measure RE 12 was not applicable to 27 files in the sample because a quality of care concern was not identified when the records in those files were reviewed by the practice analysts.

**Measure RE 13 was not applicable to 30 files in the sample because a quality of care review had not been started or completed in those files.

RE 12: Assessing a Quality of Care Concern

The compliance rate for this measure was 83%. The measure was applied to records in 18 files; 15 of the 18 files were rated achieved and 3 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed:

- Concerns about the quality of a child’s care in the home were jointly assessed by the resource worker and a supervisor to determine whether a quality of care review should be completed, or
- Concerns about the quality of a child’s care in the home were assessed to be below the threshold for a quality of care review, and the underlying issues were addressed with the caregiver.

Of the 3 files rated not achieved, all contained information indicating that there were concerns about the quality of a child's care in the home and the information was not assessed.

RE 13: Conducting a Quality of Care Review

The compliance rate for this measure was 7%. The measure was applied to records in 15 files; 1 of the 15 files was rated achieved and 14 were rated not achieved. To receive a rating of achieved, the file contained documentation confirming that the following activities were completed:

- The decision to conduct a quality of care review was made within 24 hours of receiving information about a quality of care concern
- The decision to conduct a quality of care review was approved by the responsible manager
- The quality of care review was started within 5 days
- The quality of care review was completed within 30 days, or
- The quality of care review was completed within an extended timeframe as approved by the responsible manager, and
- The caregiver was notified of the extension, and
- If a serious sanction was applied, the caregiver was informed of the right to request an administrative review of the decision to apply a sanction.

All of the 14 files rated not achieved lacked information confirming that two or more of these activities were completed. Completing the quality of care review within 30 days unless extension approved by manager (missing in 12 files) and caregiver notification of extension of timeframe (missing in 10 files) were the most frequently missed activities, followed by quality of care review started within 5 days (missing in 4 files), decision to conduct quality of care review approved by responsible manager (missing in 4 files) and decision to conduct quality of care review made within 24 hours (missing in 3 files).